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TITLE: Capital market index method for arranging capital  
market securities  
within country into single index which approximates  
activities of securities in  
marketplace

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DETAILED DESCRIPTION - The method involves computing a  
capital market index  
using a tool for calculating an investment manager in the  
form of an index  
which represents the entire capital market for one or more  
countries.

INDEPENDENT CLAIMS are included for; a method of arranging  
the capital market  
securities within a country into a single index which  
approximates the  
activities of the securities in the marketplace; a method  
for computing a  
multi-country index to approximate the activities of the  
securities in the  
marketplace of the countries.

ADVANTAGE - Provides tool for calculating a manager in the  
form of an index  
which represents the entire capital market of one or more  
countries.

REVISED VERSION

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US 09/442,819 (CIP)  
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(71) Applicant and

(72) Inventor: SCHMALENBERGER, Warren, F. [US/US];  
170 Warrenton Drive, Houston, TX 77027 (US).

(74) Agent: WISNER, Mark, R.; Wisner & Associates, Suite  
930, 2925 Briarpark, Houston, TX 77042 (US).

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Published:

— with declaration under Article 17(2)(a); without abstract;  
title not checked by the International Searching Authority

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(54) Title: CAPITAL MARKET INDEX

(57) Abstract:

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# PATENT COOPERATION TREATY

# PCT

## DECLARATION OF NON-ESTABLISHMENT OF INTERNATIONAL SEARCH REPORT

(PCT Article 17(2)(a), Rules 13ter.1(c) and Rule 39)


Applicant's or agent's file reference	IMPORTANT DECLARATION	Date of mailing (day/month/year) <b>28/04/2002</b>
International application No. <b>PCT/US 00/ 30520</b>	International filing date (day/month/year) <b>02/11/2000</b>	(Earliest) Priority date (day/month/year) <b>18/11/1999</b>
International Patent Classification (IPC) or both national classification and IPC <b>G06F17/60</b>		
Applicant <b>SCHMALENBERGER, Warren, F.</b>		

This International Searching Authority hereby declares, according to Article 17(2)(a), that no international search report will be established on the international application for the reasons indicated below

1. ☒ The subject matter of the international application relates to:
  - a. ☐ scientific theories.
  - b. ☐ mathematical theories
  - c. ☐ plant varieties.
  - d. ☐ animal varieties.
  - e. ☐ essentially biological processes for the production of plants and animals, other than microbiological processes and the products of such processes.
  - f. ☐ schemes, rules or methods of doing business.
  - g. ☐ schemes, rules or methods of performing purely mental acts.
  - h. ☐ schemes, rules or methods of playing games.
  - i. ☐ methods for treatment of the human body by surgery or therapy.
  - j. ☐ methods for treatment of the animal body by surgery or therapy.
  - k. ☐ diagnostic methods practised on the human or animal body.
  - l. ☐ mere presentations of information.
  - m. ☐ computer programs for which this International Searching Authority is not equipped to search prior art.
  
2. ☒ The failure of the following parts of the international application to comply with prescribed requirements prevents a meaningful search from being carried out:
 

☐ the description
☒ the claims
☐ the drawings
  
3. ☐ The failure of the nucleotide and/or amino acid sequence listing to comply with the standard provided for in Annex C of the Administrative Instructions prevents a meaningful search from being carried out:
 

☐ the written form has not been furnished or does not comply with the standard.
   
☐ the computer readable form has not been furnished or does not comply with the standard.
  
4. Further comments: See additional sheet for details.

Name and mailing address of the International Searching Authority  European Patent Office, P.B. 5818 Patentlaan 2 NL-2280 HV Rijswijk Tel. (+31-70) 340-2040, Tx. 31 651 epo nl, Fax: (+31-70) 340-3016	Authorized officer  <b>Mark Quinn</b>
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## FURTHER INFORMATION CONTINUED FROM PCT/ISA/ 203

A meaningful search is not possible on the basis of all claims because all claims 1-25 are directed to - Scheme, rules and method for doing business - Rule 39.1(iii) PCT

The claims relate to subject matter for which no search is required according to Rule 39 PCT. Given that the claims are formulated in terms of such subject matter or merely specify commonplace features relating to its technological implementation, the search examiner could not establish any technical problem which might potentially have required an inventive step to overcome. Hence it was not possible to carry out a meaningful search into the state of the art (Art. 17(2)(a)(i) and (ii) PCT).

The applicant's attention is drawn to the fact that claims relating to inventions in respect of which no international search report has been established need not be the subject of an international preliminary examination (Rule 66.1(e) PCT). The applicant is advised that the EPO policy when acting as an International Preliminary Examining Authority is normally not to carry out a preliminary examination on matter which has not been searched. This is the case irrespective of whether or not the claims are amended following receipt of the search report or during any Chapter II procedure. If the application proceeds into the regional phase before the EPO, the applicant is reminded that a search may be carried out during examination before the EPO (see EPO Guideline C-VI, 8.5), should the problems which led to the Article 17(2) declaration be overcome.